



# Notice of References Cited

Application No.  
09/029,181

Applicant(s)  
HOWORKA

Examiner  
Pedro R. Kanof

Group Art Unit  
2765

Page 1 of 7

## U.S. PATENT DOCUMENTS

|   | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS |
|---|--------------|------|------|-------|----------|
| A |              |      |      |       |          |
| B |              |      |      |       |          |
| C |              |      |      |       |          |
| D |              |      |      |       |          |
| E |              |      |      |       |          |
| F |              |      |      |       |          |
| G |              |      |      |       |          |
| H |              |      |      |       |          |
| I |              |      |      |       |          |
| J |              |      |      |       |          |
| K |              |      |      |       |          |
| L |              |      |      |       |          |
| M |              |      |      |       |          |

RECEIVED

MAY 15 2001

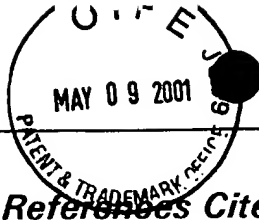
Technology Center 2100

## FOREIGN PATENT DOCUMENTS

|   | DOCUMENT NO. | DATE | COUNTRY | NAME | CLASS | SUBCLASS |
|---|--------------|------|---------|------|-------|----------|
| N |              |      |         |      |       |          |
| O |              |      |         |      |       |          |
| P |              |      |         |      |       |          |
| Q |              |      |         |      |       |          |
| R |              |      |         |      |       |          |
| S |              |      |         |      |       |          |
| T |              |      |         |      |       |          |

## NON-PATENT DOCUMENTS

|   | DOCUMENT (Including Author, Title, Source, and Pertinent Pages)  | DATE       |
|---|--|------------|
| U | Howe, Charlie; Wiring the World; Datamation; p58.  | 10/01/1984 |
| V | Merrill Lynch's network add-on makes bid as a national market entry; Data Communications; p20.   | 12/1979    |
| W | Seligman, Joel; Another unspecial study: the SEC's 'Market 2000' report and competitive developments in the United States capital markets. (Symposium on the Regulation of Capital Markets); Business Lawyer; v50; n2; p485-526. | 2/1995     |
| X | Duggal, P.S.; Hummingbird's Shares now Trade in NASDAQ National Market; PR Newswire; p425.   | 4/1994     |

**Notice of References Cited**Application No.  
**09/029,181**

Applicant(s)

**HOWORKA**Examiner  
**Pedro R. Kanof**Group Art Unit  
**2765**

Page 2 of 7

**U.S. PATENT DOCUMENTS**

|   | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS |
|---|--------------|------|------|-------|----------|
| A |              |      |      |       |          |
| B |              |      |      |       |          |
| C |              |      |      |       |          |
| D |              |      |      |       |          |
| E |              |      |      |       |          |
| F |              |      |      |       |          |
| G |              |      |      |       |          |
| H |              |      |      |       |          |
| I |              |      |      |       |          |
| J |              |      |      |       |          |
| K |              |      |      |       |          |
| L |              |      |      |       |          |
| M |              |      |      |       |          |

**RECEIVED****MAY 15 2001****Technology Center 2100****FOREIGN PATENT DOCUMENTS**

|   | DOCUMENT NO. | DATE | COUNTRY | NAME | CLASS | SUBCLASS |
|---|--------------|------|---------|------|-------|----------|
| N |              |      |         |      |       |          |
|   |              |      |         |      |       |          |
| P |              |      |         |      |       |          |
| Q |              |      |         |      |       |          |
| R |              |      |         |      |       |          |
| S |              |      |         |      |       |          |
| T |              |      |         |      |       |          |

**NON-PATENT DOCUMENTS**

|   | DOCUMENT (Including Author, Title, Source, and Pertinent Pages)   | DATE    |
|---|---|---------|
| U | Beauchamp, Marc; Individual Investor Orders Would be displayed in Best Quotew on NASDAQ under new proposal; PR Newswire; p925.  | 9/1995  |
| V | Another First for Pro-Fac Cooperative: Preferred Stock Approved for NASDAQ; PR Newswire; p823.                                  | 8/1995  |
| W | Hodges, John; NASDAQ launches the Small Order Execution System, for rapid execution of trades of up to 500 shares; PR Newswire. | 12/1984 |
| X | Bunting, J. Pearce; The changing securities game; Management Review; v79; n1; p64.  | 1/1990  |



**Notice of References Cited**

|                                      |                                |                               |             |
|--------------------------------------|--------------------------------|-------------------------------|-------------|
| Application No.<br><b>09/029,181</b> | Applicant(s)<br><b>HOWORKA</b> |                               |             |
| Examiner<br><b>Pedro R. Kanof</b>    |                                | Group Art Unit<br><b>2765</b> | Page 3 of 7 |

**U.S. PATENT DOCUMENTS**

|   | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS |
|---|--------------|------|------|-------|----------|
| A |              |      |      |       |          |
| B |              |      |      |       |          |
| C |              |      |      |       |          |
| D |              |      |      |       |          |
| E |              |      |      |       |          |
| F |              |      |      |       |          |
| G |              |      |      |       |          |
| H |              |      |      |       |          |
| I |              |      |      |       |          |
| J |              |      |      |       |          |
| K |              |      |      |       |          |
| L |              |      |      |       |          |
| M |              |      |      |       |          |

**RECEIVED**

**MAY 15 2001**

**Technology Center 2100**

**FOREIGN PATENT DOCUMENTS**

|   | DOCUMENT NO. | DATE | COUNTRY | NAME | CLASS | SUBCLASS |
|---|--------------|------|---------|------|-------|----------|
| N |              |      |         |      |       |          |
| O |              |      |         |      |       |          |
| P |              |      |         |      |       |          |
| Q |              |      |         |      |       |          |
| R |              |      |         |      |       |          |
| S |              |      |         |      |       |          |
| T |              |      |         |      |       |          |

**NON-PATENT DOCUMENTS**

|   | DOCUMENT (Including Author, Title, Source, and Pertinent Pages)   | DATE    |
|---|---|---------|
| u | OTC trading systems lead in race to automate (the National Association of Securities Dealers NASDAQ National Market System handles the top 2,610 over-the counter stocks); Wall street Computer Review; v8; n2; p31(5). | 11/1990 |
| v | O'Heney, sheila; Can image processing preclude paper? (includes related article on desktop publishing); Computers in Banking; v5; n9; p32(5).   | 9/1988  |
| w | Schmerken, Ivy; The electronic broker that could (Charles Schwab and Company Inc., Schwab Architecture Migration Strategy upgrade project); Wall Street Computer Review; v8; n12; p42(5).                               | 9/1991  |
| x | Automatching fully live on Hong Kong exchange; Financial Technology Insight; pN/A.  | 4/1994  |

**Notice of References Cited**Application No.  
**09/029,181**Applicant(s)  
**HOWORKA**Examiner  
**Pedro R. Kanof**Group Art Unit  
**2765**

Page 4 of 7

**U.S. PATENT DOCUMENTS**

|   | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS |
|---|--------------|------|------|-------|----------|
| A |              |      |      |       |          |
| B |              |      |      |       |          |
| C |              |      |      |       |          |
| D |              |      |      |       |          |
| E |              |      |      |       |          |
| F |              |      |      |       |          |
| G |              |      |      |       |          |
| H |              |      |      |       |          |
| I |              |      |      |       |          |
| J |              |      |      |       |          |
| K |              |      |      |       |          |
| L |              |      |      |       |          |
| M |              |      |      |       |          |

**RECEIVED**  
**MAY 15 2001**  
**Technology Center 2100****FOREIGN PATENT DOCUMENTS**

|   | DOCUMENT NO. | DATE | COUNTRY | NAME | CLASS | SUBCLASS |
|---|--------------|------|---------|------|-------|----------|
| N |              |      |         |      |       |          |
| O |              |      |         |      |       |          |
| P |              |      |         |      |       |          |
| Q |              |      |         |      |       |          |
| R |              |      |         |      |       |          |
| S |              |      |         |      |       |          |
| T |              |      |         |      |       |          |

**NON-PATENT DOCUMENTS**

|   | DOCUMENT (Including Author, Title, Source, and Pertinent Pages)   | DATE   |
|---|---|--------|
| U | Cohen, Norma; Competition comes to market: SIB's report sets out a blueprint for a new regulatory structure in London; Financial Times London Edition; p17. | 6/1995 |
| V | Beauchamp, Marc; Individual Investor orders would be displayed in best quote on NASDAQ under new proposal; PR Newswire; p925.                               | 9/1995 |
| W | Bonner, Paul; Do-It-Yourself: Windows Broker; PC Computing; v4; n6; p172(8).  | 6/1991 |
| X | English, Larry P.; The new object databases at work; DBMS; v7; n3; p66(7).  | 3/1994 |

**Notice of References Cited**Application No.  
**09/029,181**

Applicant(s)

**HOWORKA**

Examiner

**Pedro R. Kanof**

Group Art Unit

**2765**

Page 5 of 7

**U.S. PATENT DOCUMENTS**

|   | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS |
|---|--------------|------|------|-------|----------|
| A |              |      |      |       |          |
| B |              |      |      |       |          |
| C |              |      |      |       |          |
| D |              |      |      |       |          |
| E |              |      |      |       |          |
| F |              |      |      |       |          |
| G |              |      |      |       |          |
| H |              |      |      |       |          |
| I |              |      |      |       |          |
| J |              |      |      |       |          |
| K |              |      |      |       |          |
| L |              |      |      |       |          |
| M |              |      |      |       |          |

**RECEIVED****MAY 15 2001****Technology Center 2100****FOREIGN PATENT DOCUMENTS**

|   | DOCUMENT NO. | DATE | COUNTRY | NAME | CLASS | SUBCLASS |
|---|--------------|------|---------|------|-------|----------|
| N |              |      |         |      |       |          |
|   |              |      |         |      |       |          |
| P |              |      |         |      |       |          |
| Q |              |      |         |      |       |          |
| R |              |      |         |      |       |          |
| S |              |      |         |      |       |          |
| T |              |      |         |      |       |          |

**NON-PATENT DOCUMENTS**

|   | DOCUMENT (Including Author, Title, Source, and Pertinent Pages)  | DATE    |
|---|--|---------|
| u | Yamada, Ken; Integrator digitizes stock trading transactions using PDA technology; Computer Reseller News; n638; p6. | 7/1995  |
| v | Corcella, Karen; Tomorrow's tools of the trade; Wall street & Technology; v10; n11; p50.                             | 6/1993  |
| w | Hoffmann, R. D. R.; A margin for the electronic broker; Personal Computing; p90(3).                                  | 10/1989 |
| x | Corcella, Karen; Packing proprietary system for overseas; Wall Street & Technology; v11; n12; p14.                   | 4/1994  |



# Notice of References Cited

Application No.  
09/029,181

Applicant(s)

HOWORKA

Examiner  
Pedro R. Kanof

Group Art Unit  
2765

Page 6 of 7

## U.S. PATENT DOCUMENTS

|   | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS |
|---|--------------|------|------|-------|----------|
| A |              |      |      |       |          |
| B |              |      |      |       |          |
| C |              |      |      |       |          |
| D |              |      |      |       |          |
| E |              |      |      |       |          |
| F |              |      |      |       |          |
| G |              |      |      |       |          |
| H |              |      |      |       |          |
| I |              |      |      |       |          |
| J |              |      |      |       |          |
| K |              |      |      |       |          |
| L |              |      |      |       |          |
| M |              |      |      |       |          |

RECEIVED

MAY 15 2001

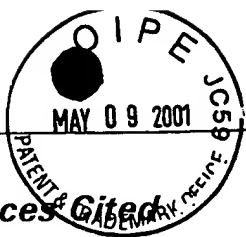
Technology Center 2100

## FOREIGN PATENT DOCUMENTS

|   | DOCUMENT NO. | DATE | COUNTRY | NAME | CLASS | SUBCLASS |
|---|--------------|------|---------|------|-------|----------|
| N |              |      |         |      |       |          |
| O |              |      |         |      |       |          |
| P |              |      |         |      |       |          |
| Q |              |      |         |      |       |          |
| R |              |      |         |      |       |          |
| S |              |      |         |      |       |          |
| T |              |      |         |      |       |          |

## NON-PATENT DOCUMENTS

|   | DOCUMENT (Including Author, Title, Source, and Pertinent Pages)  | DATE   |
|---|--|--------|
| U | Golden, Kathleen Golden; Toronto's Perpetual Project; Wall Street & Technology; v12; n9; p18(3).                       | 3/1993 |
| V | Barney, Lee; Will the futures industry live up to its standars?; Wall Street & Technology; v12, n15; p28(5).           | 6/1993 |
| W | Gibbel, Stuart; Web ad networks give marketers a new option; NETmarketing.   | 9/1996 |
| X | Schoonmaker, Sara; Trading On-Line: Information Flows in Advanced Capitalism; The Information Society; v9; n1; p39-49. | 1/1993 |



# Notice of References Cited

Application No.  
09/029,181

Applicant(s)

HOWORKA

Examiner

Pedro R. Kanof

Group Art Unit

2765

Page 7 of 7

## U.S. PATENT DOCUMENTS

|   | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS |
|---|--------------|------|------|-------|----------|
| A |              |      |      |       |          |
| B |              |      |      |       |          |
| C |              |      |      |       |          |
| D |              |      |      |       |          |
| E |              |      |      |       |          |
| F |              |      |      |       |          |
| G |              |      |      |       |          |
| H |              |      |      |       |          |
| I |              |      |      |       |          |
| J |              |      |      |       |          |
| K |              |      |      |       |          |
| L |              |      |      |       |          |
| M |              |      |      |       |          |

RECEIVED

MAY 15 2001

Technology Center 2100

## FOREIGN PATENT DOCUMENTS

|   | DOCUMENT NO. | DATE | COUNTRY | NAME | CLASS | SUBCLASS |
|---|--------------|------|---------|------|-------|----------|
| N |              |      |         |      |       |          |
| P |              |      |         |      |       |          |
| Q |              |      |         |      |       |          |
| R |              |      |         |      |       |          |
| S |              |      |         |      |       |          |
| T |              |      |         |      |       |          |

## NON-PATENT DOCUMENTS

|   | DOCUMENT (Including Author, Title, Source, and Pertinent Pages)  | DATE       |
|---|--|------------|
| U | Lennon, Michael J.; United States patent rights in financial services software; Computer Law & Practice; v10; n1; p17. | 1/1994     |
| V | Holzberg, Carol S.; Getting Started With Quicken: Part III; PC Novice; v6; n5; p48.                                    | 5/1995     |
| W | Cutting the cost of trading; Banking World; v7; n3; p45(3).  | 3/1989     |
| X | Automating Financial Markets; Economist; v314; n7645; p19-24.  | 03/19/1990 |